



FORM PT 1449

U.S. DEPARTMENT OF COMMERCE PATENT &amp; TRADEMARK OFFICE

SHEET 1 OF 4  
(REV. 7-80)**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

DOCKET NO.: 3211/IH348-US1  
APPLICANT: Augustine F. UDO, et. alSERIAL NO: 09/931,152  
FILING DATE: August 16, 2001  
CONFIRMATION NO: 3162**RECEIVED**

JAN 02 2002

Technology Center 2100

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE
SH	1. 6,161,099	Dec. 12, 2000	Harrington et al.	705	37	May 29, 1998
	2. 5,857,176	Jan. 5, 1999	Ginsberg	705	36	May 9, 1997
	3. 5,905,974	May 18, 1999	Fraser et al.	705	37	Dec. 13, 1996
	4. 5,905,975	May 18, 1999	Ausubel	705	37	Jan. 2, 1997
	5. 5,915,209	Jun. 22, 1999	Lawrence	455	31.2	Oct. 3, 1997
	6. 5,774,176	Jun. 30, 1998	Carter	348	83	Oct. 6, 1997
	7. 5,774,880	Jun. 30, 1998	Ginsberg	705	36	Feb. 28, 1995
	8. 5,794,207	Aug. 11, 1998	Walker et al.	705	23	Sept. 4, 1996
	9. 5,802,501	Sept. 1, 1998	Graff	705	36	Jan. 12, 1994
	10. 5,845,266	Dec. 1, 1998	Lupien et al.	705	37	Dec. 12, 1995
	11. 5,640,569	Jun. 17, 1997	Miller et al.	395	729	Apr. 28, 1995
	12. 5,497,317	Mar. 5, 1996	Hawkins et al.	364	408	Dec. 28, 1993
	13. 5,502,637	Mar. 26, 1996	Beaulieu et al.	364	408	Jun. 15, 1994
	14. 5,375,055	Dec. 20, 1994	Togher et al.	364	408	Feb. 3, 1992
	15. 5,243,515	Sept. 7, 1993	Lee	364	401	Oct. 30, 1990
	16. 5,136,501	Aug. 4, 1992	Silverman et al.	364	408	May 26, 1989
	17. 5,077,665	Dec. 31, 1991	Silverman et al.	364	408	May 25, 1989
	18. 4,903,201	Feb. 20, 1990	Wagner	364	408	Nov. 3, 1983
	19. 4,980,826	Dec. 25, 1990	Wagner	364	408	Mar. 19, 1984
	20. 4,789,928	Dec. 6, 1988	Fujisaki	364	401	Jan. 30, 1987
	21. 3,581,072	May 25, 1971	Nymeyer	235	152	Mar. 28, 1968

**FOREIGN PATENT DOCUMENTS**

*EXAMINER INITIALS	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
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INITIALS**OTHER REFERENCES****(INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)**\*EXAMINER  
INITIALS

22. Letter with attachment Bid Form: Thomas, Rick, *MuniBid, Inc.* (August 28, 1996); Landes, David V., 4 pp, (August 16, 1996)
23. Thomas, Rick, "Sample Form of MuniBid™ Notice of Sale", Munibid, Inc., 9 pp
24. ✓ Brochure, Thomas, Rick, "Introduction to MuniBid™ Optimizing Municipal Bond Sales", *MuniBid*, 13 pp
25. Pamphlet, "MuniBid™ Optimizing Bond Sales for the Tax-Exempt Issuer", *MuniBid*, 2 pp
26. Resnick, Amy B., "Parity On-Line Biding Program Wins Positive Reviews" *The Bond Buyer*, 1 pp (May 7, 1997)
27. Brochure, "Parity.....and the Municipal Securities Issuer", *Parity*, 3 pp (author and date unknown),
28. Brochure, "Technology for Today's Competitive Sale Market: How the Parity Network is Changing Competitive Offerings", *Parity*, 2 pp (Copyright 1992)
29. Newsletter, "Internet Benefits SF Redevelopment Offering", *California Public Finance*, Vol. 10, n21, pN/A, 1pp (Jan. 13, 1997)
30. Newsletter, Dazzo, Nicholas, J., "In Today's Muni Market, Data Bases, Not Books, Provide Dealers, Clients With Timely Bond Data: Municipal Bond Dealers Have Never Had It So Easy", *The Bond Buyer*, 4 pp (August 29, 1989)
31. Newsletter, "JP Morgan and Capital Link in Bid to Develop Electronic Auction for Corporate Debt Securities", *Trading Systems Technology*, Vol. 2, n20, pN/A, 2 pp (April 24, 1989)

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- SW*
32. Richtmyer, Richard, "Grant Street Advisers in Setting Up the First Muni Bond Auction Web Site", *The Bond Buyer*, Vol. 320, No. 30159, 3 pp (June 4, 1997)
  33. Richtmyer, Richard, "Survey Shows Bond Market is Warming Up to Electronic Trading", *The Bond Buyer*, Vol. 321, No. 30213, 3 pp (August 20, 1997)
  34. Stirland, Sarah, "News and Trends: Broker-Dealers to Hawk Products Via Satellite and Cable TV", *The Bond Buyer*, Vol. 320, No. 30125, 3 pp (April 16, 1997)
  35. Morgenstern, Renata, "Electronic Bidding for Municipal Bonds: Technology Innovations for Competitive Bond Sales", *Government Finance Review*, pp. 23-25 (Feb. 2000)
  36. Richtmyer, Richard, "Gaining PARITY: Dalcomp Purchases Electronic Bid System to Exploit Internet", *The Bond Buyer*, 2 pp (February 25, 1998)
  37. Whalen, Robert, "Where is Dalcomp? New Product Awaits Inaugural Deal", *The Bond Buyer*, 1 pp (August 19, 1998)
  38. Whalen, Robert, "Dalcomp's Electronic Bidding System Set to Debut with Wisconsin GO Deal", *The Bond Buyer*, 1 pp (August 21, 1998)
  39. Bid Form, Municipal Bond Underwriting, *Parity*, 1 pp (April 29, 1996)
  40. Brochure/Questionnaire, document entitled "Q: What Do These Issues Have in Common", received by the Comptroller of the Treasury, 1 pp (June 6, 1995)
  41. Bid Form, Official Notice of Sale: Tennessee Local Development Authority State Loan Programs Revenue Bond Anticipation Notes \$45,000,000\* 1996 Series A, 3 pp (dated: May 10, 1996)
  42. Bid Form, Tennessee Local Development Authority State Loan Programs Revenue Bond Anticipation Notes \$45,000,000\* 1996 Series A, 2 pp (dated: May 21, 1996)
  43. Bid Form, Tennessee LDA State Loan BAN 1996A, *Parity*, 1 pp (May 21, 1996)
  44. Form of Agreement, underwriter's asked to sign, *Parity*, 5 pp (February 6, 1995)
  45. Suggested Language document for including in the Notice of Sale Regarding Parity, 1 pp

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- SW 46. Bid Form, "Issue: \$7,000,000 Tax Free, WA, G.O. Bonds", *Parity*, 1 pp (1994)
47. Bid Data Form with Notice of Sale Form, "Financial Advisors/Issuers see the following data for each bid and for each Issue by dialing 206-635-0940 (this information only shows after the deadline for receipt of bids)", *Paul Hennigan: Director of Finance: City of Pittsburgh*, 10 pp (November 22, 1996)
48. Resnick, Amy B., "Parity On-Line Bidding Program Wins Positive Reviews", *The Bond Buyer*, 1 pp (May 7, 1997)
49. Stirland, Sarah, "Wall Street Is Rattled by Software That Can Remake Competitive Deals", *The Bond Buyer* 2 pp (August 21, 1996)
50. Attachment A: TIC Calculation Code, 2 pp

EXAMINER: Samuel W. W.DATE CONSIDERED: 12/01/06**\*EXAMINER:**

Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.